U.S. Department of Energy

Information Technology (IT) Reporting Format and Requirements
for BY 2007 Budget Submission

Based on OMB Circular A-11, Sections 53 and 300, "Information Technology and E-Government," and DOE Policy

DRAFT

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Contents

1. Purpose

Reporting requirements for Federal information technology (IT) investments are mandated and the processes to be used are established in the Office of Management and Budget (OMB) Circular A-11, sections 53 and 300 (Parts 2 and 7, respectively). According to section 53, entitled "Information Technology and E-Government", federal agencies are required to submit an annual IT Investment Portfolio report (the Exhibit 53 report). Section 300, entitled "Capital Asset Plan and Business Case" (the Exhibit 300), describes the business case agencies must make in order to justify each major IT investment. Because IT activities significantly impact the Department of Energy's ability to accomplish its missions and business functions, it is important to identify and coordinate IT activities being planned by all elements of the Department, including Program Offices, Staff Offices, Field Offices, Laboratories, and Contractors. The Exhibit 53 IT Investment Portfolio report and Exhibit 300 Business Cases as annual reporting requirements are an important part of DOE's process of IT management and oversight. In addition to government-wide requirements documented in the OMB Circular A-11, DOE has established agency-specific requirements, such as a threshold for major investments of $5 million or more over 3 years (PY, CY, BY), as well as additional specific requirements that are documented on pages 2 and 3 of this guidance.

The instructions below provide specific guidance that DOE organizations will use to meet Exhibit 53 and 300 reporting requirements. Further guidance on development of Exhibit 300 business case reports can be found on the Office of the Chief Information Officer (CIO) IT Planning website at http://cio.doe.gov/ITReform/Planning/index.htm.

Please direct any questions you may have related to the agency's IT investment reporting requirements or to this guidance via email or phone to your Program Office point of contact (Appendix G) or Rod Witschey, IM-22, at (202) 586-2360.

2. IT Investment Identification

In order to start the process of Exhibit 53 reporting, all organizational IT investments must be identified. IT investments include any of the following categories:
- Projects that develop new IT systems or capabilities
- Maintenance and operation of existing IT capabilities or infrastructure
- Generalized IT management investments such as the development of enterprise architectures.

No IT investments should be excluded from reporting. Since OMB prohibits the Department from considering any of the IT investments it funds "incidental to the contract" or exempted from reporting throughout the DOE complex, all expenditures of Departmental funds on IT investments including those at laboratory and contractor facilities must be reported according to the process described in these instructions.

3. Report Component Descriptions and Instructions

After identifying all IT investments, the next step is to recognize and understand what reporting information is required. Understanding the Exhibit 53 report's components and layout is important because it will ensure all required information is gathered for each investment. A complete description

of the Exhibit 53 report is provided in OMB Circular A-11, Sections 53.8 and 53.9. Below is a summary description of the report fields and instructions for assembling the required information for each field.

OMB Unique Project Identifier Number: Along with project name, each investment is identified by an OMB identifier number. All investments that have been previously reported to OMB must continue to use the same assigned identifier number from year to year unless the investment has been reclassified in some way (i.e., moved from small to major or reassigned to a new program).

The following section was extracted from OMB's Exhibit 53. It explains how the UPI number is coded for each investment. This guidance should be adhered to when assigning a UPI number to a new investment or changing the UPI for an existing investment. Those sections titled "DOE Guidance" provide specific DOE related guidance with regards to the UPI number for an investment.

Entry	**Description**
XXX-xx-xx-xx-xx-xxxx-xx-xxx-xxx	The first three digits are your agency code

> **DOE Guidance:**
> The DOE Agency code is **019**.

xxx-XX-xx-xx-xx-xxxx-xx-xxx-xxx	The next two digits are your bureau code. If this is a department only reporting, use 00 as your bureau code.

> **DOE Guidance:**
> Program Offices' Bureau Codes are listed in Appendix D.

xxx-xx-XX-xx-xx-xxxx-xx-xxx-xxx	These two digits indicate the four parts of exhibit 53:

01 = Part 1. IT Investments by Mission Area
02 = Part 2. IT Investments for Infrastructure, Office Automation, and Telecommunications
03 = Part 3. IT Investments for Enterprise Architecture and Planning
04 = Part 4. IT Investments for Grants Management Systems

xxx-xx-xx-XX-xx-xxxx-xx-xxx-xxx	These two digits indicate the mission area. Assign a unique code for each mission area reported.

> **DOE Guidance:**
> Program Offices' Mission Areas are listed in Appendix C.

xxx-xx-xx-xx-XX-xxxx-xx-xxx-xxx	These two digits indicate your agency's type of investment. Select one of the following two digit codes according to the type of investment you are reporting:

01 = Major IT investments

> **DOE Guidance:**
> Major Investments**:** Classify investments as **major** if it meets any of the following criteria:
> ▪ An estimated Total Project Cost (TPC) of $5 million or more (i.e., cumulative D/M/E funding across all fiscal years (all past, current, and all future) of the project); or any investment with cumulative Steady State or mixed lifecycle funding of $5 million or more across 3 fiscal years; the Prior Year (PY), the Current Year (CY), and the Budget Year (BY)
> ▪ A financial system with an estimated investment cost of $500 thousand or more in one year (See Appendix E for more information on this type of system);

- A grants management IT investment, regardless of dollar value;
- Requires special management attention because of its importance to the agency mission;
- Has high development, operating, or maintenance costs, high risk or high return;
- Plays a significant role in the administration of agency programs, finances, property, or other resources;
- Is E-Government in nature or uses E-business technologies, regardless of dollar value. The four categories of E-government initiatives are:
  - Government-to-Citizens (G2C); Initiatives to build easy to find, easy to use, one-stop points-of-service that make it easy for citizens to access high-quality government services.
  - Government-to-Business (G2B); Initiatives that reduce government's burden on businesses by eliminating redundant collection of data and better leveraging E-business technologies for communication.
  - Government-to-Government (G2G); Initiatives that make it easier for states and localities to meet reporting requirements and participate as full partners with the federal government in citizen services, while enabling better performance measurement, especially for grants.
  - Internal Efficiency and Effectiveness (IEE); Initiatives that make better use of modern technology to reduce costs and improve quality of federal government agency administration, by using industry best practices in areas such as supply-chain management, financial management and knowledge management.

As discussed previously, every major investment that is identified on the Exhibit 53 must also have an approved business case justifying why it should receive funding. This justification must be documented in an Exhibit 300 "Capital Asset Plan and Business Case". Section 5.c of these instructions provides further explanation of the Exhibit 300.

02 = Non-major IT investments

DOE Guidance:
Non-major investment**:** Classify your investment as **non-major** if it does not qualify as a major investment according to any of the above criteria.

03 = IT investment portion of a larger asset and for which there is an existing business case for the overall asset. Description of the IT investment should indicate where the Exhibit 300 for the major asset can be found. With demonstration of the Exhibit 300 for the overall asset, these line items are counted as major IT investments within the overall IT portfolio.

xxx-xx-xx-xx-xx-XXXX-xx-xxx-xxx

This is a four digit identification number that identifies a specific IT investment. If a new investment is added to exhibit 53, locate the area of exhibit 53 where you are going to report the IT investment and use the next sequential number as your four digit identification number.

DOE Guidance:
The DOE OCIO will have to assign the OMB unique project identifier (UPI) number for new, major investments. For new non-major investments, the organization's CIO/Senior IT Manager assigns the OMB identifier number. If you need a UPI number for a new, major investment, or if you are uncertain who to contact within your organization to receive a UPI for a new, non-major investment, please contact the OCIO point of contact for your Program Office (shown in Appendix F).

For organization CIO/Senior IT Managers a more detailed explanation of

<table>
<tr><td></td><td>OMB Unique Project Identifier coding is provided in the Electronic Capital Planning and Investment Control (eCPIC) User Guide for OMB Exhibit 53 reporting that is provided during training.</td></tr>
</table>

xxx-xx-xx-xx-xx-xxxx-XX-xxx-xxx

These two digits identify which part of the investment you are reporting. Select one of the following two digit codes according to what you report on the title line:

00 = Total investment title line, or the first time the agency is reporting this particular investment.

24 = If this is one of the PMC E-Gov initiatives or an individual agency's participation in one of the PMC E-Gov initiatives, this two-digit code should be "24".

<table>
<tr><td></td><td>**DOE Guidance:**
Consolidated Investments: Investments included in consolidated business cases should use the **04** suffix code denoting a funding source line item for the consolidated investment.</td></tr>
</table>

xxx-xx-xx-xx-xx-xxxx-xx-XXX-xxx

These three digits identify the *primary* Business Area and Line of Business from the Federal Enterprise Architecture Business Reference Model that this major or non-major IT investment supports (major systems must identify BRM mappings -- primary and non-primary -- in Section 300). Two digit codes for each of the Lines of Business, as well as guidance on how to determine your *primary* mapping can be found at http://www.egov.gov.

xxx-xx-xx-xx-xx-xxxx-xx-xxx-XXX

The final three digits identify the *primary* Sub-Function within the Line of Business of the FEA BRM that this IT investment supports (major systems must identify *all* BRM mappings -- primary and non-primary -- in Section 300). Non-major investments are expected to identify the primary Sub-Function.

Investment Name: Provide a unique and specific name for the investment. Follow the DOE IT investment naming convention by starting each investment title with the prefix of the sponsoring organization (current prefixes are shown in Appendix B).

Investment Description: For each investment, provide a project description of fifty words or less. The description should explain the investment, its components, and the program(s) it supports. This description should be understandable to someone who is not an expert in the Department. Furthermore, if the investment is part of a multi-agency initiative in which DOE is participating but not leading, identify the lead agency in the description.

Funding Source(s) and Amounts: For each investment, provide the source of funding by identifying the OMB Account Code(s) associated with investment amount(s) that should be attributed to each source. **For each reported year, the sum of all funding source(s) amounts for an investment must equal its total investment costs.**

Homeland Security Indicator: Determine whether or not the investment supports the Homeland Security efforts of the country by using the following Homeland Security goals and objectives as a guide:
   1) Improve border and transportation security;
   2) Combat bio-terrorism;
   3) Enhance first responder programs;
   4) Improve information sharing to decrease response times for actions and improve the quality

of decision making.

Report Parts: The Exhibit 53 report contains the following four parts:
1. Mission Area
2. Infrastructure and Office Automation
3. Enterprise Architecture and Planning
4. Grants Management

Each investment reported must be classified into one of the four report parts. Definitions of each part are provided below.

Part 1. Mission Area includes IT investments that directly support an agency-designated mission area. The complete list of DOE Mission Areas is provided in Appendix C. The only mandatory mission area defined by OMB A-11 is Financial Management.

- **Financial Management Mission Area**: Assign each financial system to the first mission area, Financial Management. Definitions for financial systems and financial functions are provided in Appendix E.
  - o Classify the Financial Management investment as major if it has an estimated cost of $500 K or more in one year; lower cost systems may be classified as non-major.
  - o Include in each financial management investment short description a count of the number of federal full time equivalents (FTEs) supporting the system.

Part 2. Infrastructure and Office Automation includes IT investments that support common user systems, communications, and computing infrastructure. These investments usually involve multiple mission areas and might include general LAN/WAN, desktops, data centers, crosscutting issues such as shared IT security initiatives, and telecommunications. Include total FTE costs in investment cost calculations.

- Report **IT security** investments not directly tied to a mission area or individual investment separately in Part 2 with a descriptive title for their contents, for example, "Site-wide Cyber Security Firewall Implementation."

Part 3. Enterprise Architecture and Planning includes IT investments that support strategic management of IT operations, such as interoperability, architecture development, IT investment planning, procurement management, and policy. Include total FTE costs in investment cost calculations.

Part 4. Grants Management includes IT investments that support grants management programs. Categorize each grants management investment as major and report it both on the Exhibit 53 and with an Exhibit 300 business case. Include total FTE costs in investment cost calculations.

4. Cost Estimation

a. Identify Cost Types

Identify estimated costs associated with each investment for three years—prior year (PY) 2005, current year (CY) 2006 and budget year (BY) 2007. For each year, determine the cost break down between development and steady state costs as defined below.

- **Development/modernization/enhancement (D/M/E)** refers to the cost for new investments and changes or modifications to existing investments to improve capability or performance. Costs may include costs of mandated changes, costs of project management, personnel costs, and direct support costs.
  Note: Both **Planning** and **Full Acquisition** costs listed on the Summary of Spending table in the Exhibit 300 are considered part of D/M/E.

- **Steady State** refers to maintenance and operation costs at current capability and performance level, including costs for personnel, maintenance of existing investments, corrective software maintenance, voice and data communications maintenance, and replacement of broken IT equipment.
  Note: Maintenance costs listed in the Summary of Spending table in the Exhibit 300 fall under the category of Steady State.

For each reported year, the total planned costs of an investment must equal the sum of the development and steady state amounts.

b. Identify Funding Source(s) and Amounts
Identify the source of funding for IT investments by identifying OMB Account Code(s) associated with investment amount(s) that should be attributed to each source. **For each reported year, the sum of all funding source(s) amounts for an investment must equal its total investment costs.**

For investments supported by multiple organizations, the program leading the effort will provide a single Exhibit 53 investment entry in eCPIC. To avoid double counting, no other organization that contributes to a collaborative investment will generate an eCPIC record for their portion of the investment. Each contributing program must ensure that its share of the total investment cost is reported to the lead program for inclusion in the Exhibit 53 report.

c. Identify Security and Financial Percentages for the Budget Year
For each investment, identify to the nearest whole percent the estimated total cost for IT security for the budget year. All investments must include some percentage for IT security. Examples of IT security costs/activities include firewall, PKI initiatives, password security, cyber security reviews, and security training. For more specific security criteria, review the language provided by OMB in Appendix E.

> **Note**: The CIO reminds Departmental elements that they must adhere to the principles for incorporating and funding security as part of agency information technology investments. This is necessary to ensure that these investments preserve the integrity, reliability, availability, and confidentiality of important information while maintaining their information systems. The most effective way to protect information and systems is to incorporate security into the architecture of each. This approach ensures that security supports agency business operations and that plans to fund and manage security are built into life-cycle budgets for information systems. Hence, all Secretarial Officers will integrate cyber security into their capital planning process with cyber security costs reported for each information technology investment. Additional guidance can be found in OMB Memorandum M-00-07, dated February 28, 2000.

For each investment, identify to the nearest whole percent the estimated total cost for the budget

year associated with financial management, or enter zero, if none. The OMB A-11 definition of financial systems is provided in Appendix E.

5. Infrastructure, Office Automation and Telecommunications Investments

OMB's draft Circular A-11 states that "Department-wide IT programs for office automation, and telecommunications should be coordinated through an agency-wide process and reported in September as a single business case for the Department." This section of the guidance should be used by DOE program offices and laboratories when collecting and reporting their Exhibit 53 data under the Consolidated Infrastructure, Office Automation and Telecommunications (IOAT) investment portfolio.

a. Investments to Include in the Consolidated IOAT Portfolio
OMB has provided a broad description of what types of investments and activities should be included within the consolidated business case. DOE has taken the guidance from OMB and developed six areas of technical consolidation. These six areas, or service lines, include telecommunications networks, application and data hosting/housing, office automation, telephony services, enterprise collaboration services, and cyber security. Definitions and examples of the six service lines are provided in Appendix F.

b. Investments to Exclude from the Consolidated IOAT Portfolio
IOAT is not inclusive of ALL IT systems and network services. Consolidated IOAT does not include:
  – SECRET infrastructure or data storage facilities.
  – Research and Development
  – scientific research and advance science research computing
  – Mission critical development, testing, experimentation, modeling, or the like environments as they apply to program specific mission objectives. (e.g. ESNet is not included under IOAT)
  – MAJOR HR or ERP implementations as described in OMB Guidance.

c. Exhibit 53 Reporting Requirements

Review Sub-Investments Submitted in BY 06 Portfolio
When preparing the Exhibit 53, each site/location should review the infrastructure sub-investments that were submitted in the BY 06 portfolio. This information should be used to determine if new investments should be added or deleted from the list.

Classify and Name Sub-Investments By Organizational Code and Service Lines
Investments should be categorized and classified by sponsoring organization and service line. The following naming convention should be used when entering investment information:

The first part of the naming convention should identify the organizational code for the sub-investment.

The second part of the naming convention should identify the service line associated with the sub-investment. If multiple sub-investments exist within the same organization and service line, then a descriptive suffix should be

added. (Example: RL Telecommunications Networks Main LAN, RL Telecommunications Networks Testbed LAN)

Sites should submit separate Exhibit 53s per service line for each site/location. Resulting in, if applicable, a minimum of six Exhibit 53s for each site/location under the PMO area of responsibility. If sites have multiple significant efforts within a single service line, each effort should be identified on an Exhibit 53 with a short description that explains the distinction among the efforts.

All Exhibit 53 data submitted by the program offices and laboratories will be aggregated by the IOAT Integrated Project Team (IPT) and reported under the Consolidated IOAT Exhibit 300 in the BY 07 budget submission.

For those offices at headquarters that obtain eXCITE services, only report **one Exhibit 53** for eXCITE services at headquarters.

> **Note:** The requirement is intended to ensure that all of these investments are integrated into an overall strategy that is consistent with the Department's strategic direction and allows for the possible consolidation and integration across the enterprise. The requirement is not intended to imply that every individual investment included in the IOAT program is implemented centrally by the agency-level CIO organization. Currently the IPT is preparing material to support a Critical Decision point zero (CD-0) decision under the DOE Order 413 Project Management process for IOAT for each service line.

6. Data Entry

The next part of the reporting process is data entry followed by data submission. This section describes the mechanisms for using eCPIC to capture the IT investment data and submitting it to the Office of the CIO.

a. Use eCPIC to Maintain And Report on IT Investment Data
For BY 2007, all DOE organizations will enter all their IT reporting data, including both Exhibit 53 and Exhibit 300 business case data, into the Electronic Capital Planning and Investment Control (eCPIC) system. In addition to this document, the Office of the CIO will provide training, instruction manuals, and telephone help desk services in the use of eCPIC.

For information on how to access eCPIC or to indicate interest in attending training, contact your Program Office POC (Appendix G) or George Dudley, IM-22 the eCPIC Point of Contact, via e-mail at eCPIC@hq.doe.gov, to make arrangements. Prospective system users should attend eCPIC training prior to using the system.

b. Enter Exhibit 53 data
As a trained eCPIC user, update existing investment data records or create new investment records, following instructions provided in training and in the eCPIC User Guide for OMB Exhibit 53 Reporting.

c. **Prepare a "Capital Asset Plan And Business Case" (Exhibit 300) for Each Major Investment**

For each major IT investment, enter Exhibit 300 business case data that demonstrates a direct connection to the DOE strategic plan, a positive return on investment for the selected alternative, sound acquisition (program and procurement) planning, comprehensive risk mitigation and management planning, and realistic cost and schedule goals and measurable performance benefits. Submitters will use eCPIC to update existing business cases and/or enter new ones, following instructions provided in training and in the eCPIC User Guide for OMB Exhibit 300 reporting.

7. Data Submission Logistics

This section describes the logistics for how and when investment owners will submit their data to their lead programs and how and when lead programs will submit their portfolios to the Office of the CIO and the Chief Financial Officer.

a. **For The Field Budget Call**

In response to the BY 2007 Field Budget Call, by the due date provided in the table below, contractors, laboratories and field elements will enter their new IT investment eCPIC data, update their existing eCPIC data, and notify their lead program eCPIC point of contact of completion so that the lead program can review and approve IT portfolio data in the system. This includes both Exhibit 53 data and Exhibit 300 business case data.

Step-by-step instructions demonstrating how investment owners should use eCPIC to complete and submit A-11 IT investment reporting data to portfolio owners are provided in the eCPIC User Guide for OMB Exhibit 53 Reporting. eCPIC already contains all of the investments that were reported as part of the budget process for BY 2006. Submitters should update, add to, and/or delete them as necessary to develop their BY 2007 submission.

b. **For the Corporate Review Budget**

Each Headquarters program and staff organization will use eCPIC to enter its new IT investments or edit its existing investment data, including Exhibit 300 business case data, according to instructions provided by the OCIO in the eCPIC User Guide for OMB Exhibit 53 Reporting and the eCPIC User Guide for OMB Exhibit 300 Reporting. Once complete, submitters must notify their organization's CIO or senior IT manager. For the Corporate Review Budget (CRB), Lead Programs will incorporate field site IT planning data into their program level submissions and submit program-wide data to the OCIO via eCPIC.

eCPIC already contains all of the investments that were reported as part of the budget process for BY 2006. Submitters should update, add to, and/or delete them as necessary to develop their FY 2007 submission.

c. **Portfolio Review and Certification**

By the due date provided in the table below, each organization CIO or senior IT manager who owns a portfolio of IT investments in eCPIC will be responsible for updating, reviewing and certifying via email to Rod Witschey, the OCIO Planning Division Director, and George Dudley, the eCPIC Point of Contact, that their organization's submission is complete and ready for OCIO review. After undergoing OCIO review, submitters will be notified if the submission is

satisfactory or if further modifications are necessary.

Organization CIOs or senior IT managers who are eCPIC portfolio owners can find detailed instructions on eCPIC portfolio management and submission of A-11 IT Investment Reporting data in the Portfolio Management section of the eCPIC User Guide for OMB Exhibit 53 Reporting.

d. FY 2005 IT Investment Reporting Due Dates

Due Date	Responsible Party	Action
April 2005	eCPIC Investment owners and Portfolio owners	Receive and review this guidance on **how to comply with OMB IT Investment reporting requirements** in time to identify and classify your investments prior to eCPIC training in April-May 2005
April 22, 2005	Field eCPIC Investment owners	**Field eCPIC investment submissions due to program offices.** A confirmation email to their eCPIC Portfolio owners is required. Include the name(s) of the submitted portfolio(s).
May 24, 2005	Headquarters, eCPIC Investment owners, and Portfolio owners	Preliminary **Program and Staff office eCPIC Portfolio submissions due** to the OCIO. A confirmation email to Rod Witschey, the OCIO Planning Division Director, and George Dudley, the eCPIC Point of Contact is required. Include the name(s) of the submitted portfolio(s)
September 2, 2005	Headquarters and eCPIC Portfolio Owners	**All Final submissions due** to the OCIO. A confirmation email to Rod Witschey, the OCIO Planning Division Director, and George Dudley the eCPIC Point of Contact is required.
September 2, 2005	Headquarters, eCPIC Portfolio Owners, and eCPIC Investment Owners	**All users will be locked out** of the eCPIC application. All entries and updates to investments within eCPIC must be made by close of business.
November-December 2005	Field, Headquarters, eCPIC Investment Owners and Portfolio Owners	**Revise all Exhibit 53 and Exhibit 300 budget numbers** in eCPIC to reflect budget decisions from OMB pass back. Inform the OCIO via e-mail when revisions are complete for review.

Appendix A: OMB Circular A-11 IT Investment Reporting Requirements Checklist

Ensure that each investment you report includes the following items. It may also be helpful for you to use the checklist as a worksheet:

Item	Complete
Investment Name	
Investment Short Description • If "Financial" Mission Area, indicate actual # of federal FTEs	
Investment Owner (Point of Contact and Location)	
Four-digit OMB Unique Project Identifier code number • Codes for Major investments are provided by OCIO • Codes for non-major investments are provided by Portfolio Owner	
Investment Type Indicator: Major or Non-Major	
Report Part Indicator (select one of four)**:** 1. IM Investments by Mission Area 2. Infrastructure & Office Automation 3. Architecture & Planning 4. Grants Management	
Homeland Security Indicator: Yes or No	
OMB Bureau Indicator (select one of six)**:** • NNSA • Environmental and Other Defense Activities • Energy Programs • Power Marketing Administration • Departmental Administration • Inter-Agency Projects	
Estimated Percentage of investment Security costs in FY06	
Estimated Percentage of investment that is Financial in FY06	
Cost Data for FY04, FY05 and FY06 • Breakdown of Budgetary Resources (BR) by D/M/E (Planning and Full Acquisition $) versus Steady State (Maintenance $) • Any incurred Outlays • Complete additional years as desired	

Type	**PY $**	**CY $**	**BY $**	
Planning BR				
Outlays				
Acquisition BR				
Outlays				
Maintenance BR				
Outlays				

Investment **Funding Source(s)** by Appropriation Code • Expected amount per Funding Source				
Source Code	**PY $**	**CY $**	**BY $**	
Completed Business Case if the investment is classified as Major				

Appendix B: Current DOE Investment Prefixes for eCPIC Investment Names

Alphabetic Listing of Prefixes	
AMES	OCRWM
ANL	OH
BJC	OH BWXT
BNL	OR
CAO	OR WSSRAP
CH	ORAU
CN	ORISE
EA	ORNL
EE	OSTI
EH	PNNL
EIA	PPPL
EM	RFFO
EM HQ	RFFO KH
FNAL	RL
GC	RL HEHF
GJO	RL PHMC
HG	RL RCP
ID	RL RPP
IG	RL WTP
IM	SC
INEEL	SEPA
JLAB	SLAC
LBL	SP
LM	SPRO
ME	SR
NE	SWPA
NETL	TD
NNSA	WAPA
NREL	

Note: If you find that a code is missing from the above prefixes list, please contact the eCPIC system administrator so that it can be added.

Appendix C: FY 2007 Mission Areas

Mission Area
Civilian Radioactive Waste Management (RW)
Economic Diversity (ED)
Electronic Transmission and Distribution (TD)
Energy Assurance (EA)
Energy Efficiency & Renewable Energy (EE)
Energy Information Administration (EI)
Environment, Safety & Health (EH)
Environmental Management (EM)
Financial Management (See Appendix E for definition)
Fossil Energy (FE)
Inter-Agency Projects
Legacy Management (LM)
National Nuclear Security Administration (NA)
Nuclear Energy (NE)
Other Corporate Management Investments (This Mission Area encompasses all non-financial IT investments of IM, ME, and other DOE Staff Offices)
Power Marketing Administrations (This Mission Areas encompasses all non-financial IT investments of the following PMAs: WAPA, SWPA, and SEPA)
Science (SC)
Security (SP)

Appendix D: OMB Bureau Indicators

The table below indicates the OMB Bureau that is normally associated with each organization. There may be exceptions in certain cases. If you believe that an exception is required for one of your investments, contact your Program Office POC (Appendix F) or Rod Witschey, (202) 586-2360, the OCIO Planning Division Director, to ensure that the preferred bureau is selected.

Organization	Associated OMB Bureau
NA	National Nuclear Security Administration
EM, RW, EA, LM	Environmental and Other Defense Activities
EE, EIA, FE, NE, SC	Energy Programs
SEPA, SWPA, WAPA	Power Marketing Administration
CN, EH, GC, HG, IG, IM, ME, PA, SP, TD	Departmental Administration
Any	Inter-Agency Projects

Appendix E: Excerpts From OMB Circular No. A-11, Part 1, Chapter III, Exhibit 53

Section 53.2: Ensuring that IT investments are linked to and support the President's Management Agenda

All IT Investments must support the President's Management Agenda and must clearly demonstrate that the investment is needed in order to close a specific performance gap and enable agency strategic goals and missions. The President's Management Agenda Scorecard Items are:

- Human Capital;
- Competitive Sourcing;
- Financial Performance;
- E-Government; and
- Budget and Performance Integration.

The President's Budget also defines guiding principles for the investments supporting the President's Management Agenda. The principles OMB will use to implement the PMA and the supporting IT investments are to ensure that investments:

- Create a citizen centered, results oriented, and market based government;
- Support Homeland Security, War on Terrorism, and Revitalizing the Economy;
- Identify and manage corporate measures of success;
- Simplify and unify redundant activities, both within and across agencies;
- Where appropriate, investments are aligned with the President's E-Gov initiatives, identified at www.whitehouse.gov/omb;
- Represent sound business cases that address overall solutions (human capital, competitive sourcing, financial performance, e-government, and budget and performance integration) as applicable; and
- Include strategic partnerships to perform business with state, local, other federal agencies, non-profit organizations, and private industry as appropriate.

Section 53.3: What special terms must I know?

Information system means a discrete set of information technology, data, and related resources, such as personnel, hardware, software, and associated information technology services organized for the collection, processing, maintenance, use, sharing, dissemination or disposition of information.

Information technology, as defined by the Clinger-Cohen Act of 1996, sections 5002, 5141, and 5142, means any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For purposes of this definition, equipment is "used" by an agency whether the agency uses the equipment directly or it is used by a contractor under a contract with the agency that (1) requires the use of such equipment or (2) requires the use, to a significant extent, of such equipment in the performance

of a service or the furnishing of a product. Information technology includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. It does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

Financial management systems are financial systems and the financial portion of mixed systems (see definitions below) that support the interrelationships and interdependencies between budget, cost and management functions, and the information associated with business activities.

Financial systems are comprised of one or more applications that are used for any of the following:

- Collecting, processing, maintaining, transmitting, and reporting data about financial events;
- Supporting financial planning or budgeting activities;
- Accumulating and reporting cost information; or
- Supporting the preparation of financial statements.

A financial system supports the processes necessary to record the financial consequences of events that occur as a result of business activities. Such events include information related to the receipt of appropriations or resources; acquisition of goods or services; payment or collections; recognition of guarantees, benefits to be provided, or other potential liabilities or other reportable activities.

Mixed system means an information system that supports both financial and non-financial functions of the Federal Government or components thereof.

Non-financial system means a system that supports management functions of the Federal Government or components thereof and does not record financial events or report financial information.

Major IT system or project means a system that requires special management attention because of its importance to an agency mission; its high development, operating, or maintenance costs; or its significant role in the administration of agency programs, finances, property, or other resources. Large infrastructure investments (e.g., major purchases of personal computers or local area network improvements) should also be evaluated against these criteria. Your agency Capital Planning and Investment Control Process may also define a "major system or project." All major systems or projects must be reported on Exhibit 53. In addition, a "major" IT system is one reported on your "Capital Asset Plan and Business Case," Exhibit 300. For the financial management mission area, "major" is any system that costs more than $500,000. Additionally, if the project or initiative directly supports the President's Management Agenda Items, then the project meets the criteria of "high executive visibility." Projects that are E-Government in nature or use e-business technologies must be identified as major projects regardless of the costs. Systems not considered "major" are "small/other."

[Note: DOE more specific criteria, see pages 5-6]

E-business (Electronic Business) means doing business online. E-business is often used as an

umbrella term for having an interactive presence on the Web. A government E-business initiative or project includes web-services type technologies, component based architectures, and open systems architectures designed around the needs of the customer (citizens, business, governments, and internal federal operations).

E-government is the use by the government of web-based Internet applications and other information technologies, combined with processes that implement these technologies.

Small/Other IT Project means any initiative or project not meeting the definition of major defined above but that is part of the agency's IT investments.

Section 53.7: Organization of Exhibit 53

(a) *Overview.*
Exhibit 53 has four major parts:

- Part 1.   IT systems by mission area.
- Part 2.   IT infrastructure and office automation.
- Part 3.   Enterprise architecture and planning.
- Part 4.   Grants management.

All parts use the following common data elements:

- *Unique Project Identifier(UPI)* means an identifier that depicts agency code, bureau code, mission area (where appropriate), part of the exhibit where investment will be reported, type of investment, agency four-digit identifier, year the investment entered the budget, and mapping to the Federal Enterprise Architecture. Details are provided in section 53.8.

- *Title* means a definitive title that explains what the project or investment is entitled. This should include a short project description for each project of one-hundred words or less. This description should explain the entry item, its components, and what program(s) it supports. This description should be understandable to someone who is not an expert in the agency.

- *Development/modernization/enhancement* means the program cost for new systems, changes or modifications to existing systems that improve capability or performance, changes mandated by Congress or agency leadership, personnel costs for project management, and direct support. This amount equals the sum of amounts reported for planning and full acquisition of that system in exhibit 300 and is required for "major" systems only.

- *Steady state* means maintenance and operation costs at current capability and performance level including costs for personnel, maintenance of existing information systems, corrective software maintenance, voice and data communications maintenance, and replacement of broken IT equipment. This amount equals amounts reported for maintenance of that system in exhibit 300 and is required for "major" systems only.

- *Percentage financial* means an estimated percentage of the total system budget authority associated with the financial components. See the financial system definition for a description of financial functions.

- *Supports Homeland Security* means an IT system or project that supports homeland security goals and objectives, i.e., 1) improves border and transportation security, 2) combats bioterrorism, 3) enhances first responder programs, 4) improves information sharing to decrease response times for actions and improves the quality of decision making.

- *Percentage IT security* means an estimated percentage of the total investment for budget year associated with IT security for a specific project. Federal agencies must consider the following criteria to determine security costs for a specific IT investment:

  1. The products, procedures, and personnel (Federal employees and contractors) that are primarily dedicated to or used for provision of IT security for the specific IT investment. Do not include activities performed or funded by the agency Inspector General. This includes the costs of:
     - risk assessment;
     - security planning and policy;
     - certification and accreditation;
     - specific management, operational, and technical security controls (to include access control systems as well as telecommunications and network security);
     - authentication or cryptographic applications;
     - education, awareness, and training;
     - system reviews/evaluations (including security control testing and evaluation);
     - oversight or compliance inspections;
     - development and maintenance of agency reports to OMB and corrective action plans as they pertain to the specific investment;
     - contingency planning and testing;
     - physical and environmental controls for hardware and software;
     - auditing and monitoring;
     - computer security investigations and forensics; and
     - reviews, inspections, audits and other evaluations performed on contractor facilities and operations.

  2. Other than those costs included above, security costs may also include the products, procedures, and personnel (Federal employees and contractors) that have as an incidental or integral component, a quantifiable benefit to IT security for the specific IT investment. This includes system configuration/change management control, personnel security, physical security, operations security, privacy training, program/system evaluations whose primary purpose is other than security, systems administrator functions, and, for example, system upgrades within which new features obviate the need for other standalone security controls.

  3. Many agencies operate networks, which provide some or all necessary security controls for the associated applications. In such cases, the agency must nevertheless account for security costs for each of the application investments. To avoid "double-counting" agencies should appropriately allocate the costs of the network for each of the

applications for which security is provided.

In identifying security costs, some agencies find it helpful to ask the following simple question, "If there was no threat, vulnerability, risk, or need to provide for continuity of operations, what activities would not be necessary and what costs would be avoided?" Investments that fail to report security costs will not be funded. Therefore, if the agency encounters difficulties with the above criteria they must contact OMB prior to submission of the budget materials.

- *Funding Source* means any budgetary resource used for funding the IT Investment. Budgetary resource is defined in section 20. For each funding source, identify the budgetary resources (direct appropriation or other specific budgetary resources such as working capital funds, revolving funds, user fees, etc) for a project or investment. Identify the budget account and organization or operating division. Add as many funding source line items as are appropriate for the investment or project. To avoid double counting, do not report any accounts receiving intra-governmental payments to purchase IT investments or services.

- *Funding Source subtotal* means the totals of all funding sources used for funding the IT Investment.

(b) *Part 1. IT systems by mission area.*
Consistent with your agency's strategic and annual performance plan, report amounts for IT investments that directly support an agency-designated mission area (e.g., human resource management, financial management, command and control). Report each mission area in which IT systems, programs, projects, or initiatives are funded. For each mission area, itemize each "major" and "small/other" system. To determine how many systems, including all parts of the exhibit, should be listed as either "major" or "small" in each mission area, use the rule that the greater percent of your IT expenditures should be identified within the major category. For FY 2003, agencies identified an average of 52 percent of their total IT investments as "major." Major projects should account for at least 60 percent of the IT investment portfolio for FY 2004 reporting. This is the performance goal to focus on achieving and increasing as agencies use capital planning and investment control processes to better manage information technology.

You must have a mission area titled "Financial Management," and it must be reported as the first mission area. Some systems support financial functions in addition to other functions. If a system supports financial functions, you must include an estimated percentage of the total system obligations associated with the financial components. See the financial system definition for a description of financial functions. Systems that predominately support financial functions should be included in the first mission area, "Financial Management." If the project reported is 100 percent financial, indicate 100 percent in the column. For mixed systems or projects, indicate the appropriate percentage that is financial. For those projects that are fully non-financial, enter zero.

(c) *Part 2. IT infrastructure and office automation.*
Report amounts for IT investments that support common user systems, communications, and

computing infrastructure. These investments usually involve multiple mission areas and might include general LAN/WAN, desktops, data centers, cross-cutting issues such as shared IT security initiatives, and telecommunications. Report each "major" IT infrastructure system, program, project, or initiative separately. Report your IT security initiatives and projects that are not directly tied to a major project on a separate line identified as "small/other."

(d) *Part 3. Enterprise architecture and planning*.
Report amounts for IT investments that support strategic management of IT operations (e.g., business process redesign efforts that are not part of an individual project or initiative, enterprise architecture development, capital planning and investment control processes, procurement management, and IT policy development and implementation).

(e) *Part 4. Grants management*.
Report amounts for IT investments that represent planning, developing, enhancing or implementing a grants management system or portion thereof. Highlight any grants systems initiatives as defined by this section. To highlight a system, which is not defined as major/critical, agencies should identify the grants system as small/other.

Appendix F: Consolidated Infrastructure Service Line Definitions and Examples

Service Line	Definition	Example
Telecommunications Networks	All IT investments required to support network communications between Wide Area Networks (WAN), Metropolitan Area Networks (MAN), Campus Area Networks (CAN), and Local Area Networks (LAN). All IT investments required to provide networking services within a building, campus, data center or Center, including hardware, software, and services (including wireless LANs, remote access, Domain naming services, network management, X500/directory services).	• Commercial ISP (WANs) • Agency WAN • Converged Voice/video/data networks • Wide Area Networks • Metropolitan Area Networks • Campus Area Networks • Local Area Networks • Internet access services • Maintenance (COTs and SLAs) • NOCs / NMCs
Application & Data Hosting/Housing	Application services provide an end service to end-users. Application services include the development, operations and maintenance of applications that are not desktop services. Includes IT investments in hardware (not a part of a datacenter), software and services required to provide application services remote from a desktop and not provided by a Data Center. This includes design, development, help and other support, operations and maintenance. A data center is a collection of IT hardware and software that is used for multiple purposes, and often related to, computing services. Furthermore, these resources are usually funded and operated as a shared resource with management dedicated to operating the center. Mass storage systems should be included as a data center unless the mass storage is integrated into some other IT facility. Includes: • Data storage (digital data storage services, including hardware, software and services) • Web services provided to citizens by the Agency (all costs: HW/SW, design maintenance and support) • Externally focused websites (not internally focused websites) • IT investments to support software engineering services.	Includes but is not limited to: • Application hosting/housing • Application development • Database hosting/housing • Database development • Datacenters • e-Forms • Standard Agency-wide Administrative Systems • Web services internal to Agency or Bureau (to include GP applications with a web front-end) • General Purpose IT Support of Missions/Projects • IT Support for Centralized Services (data center, servers, mass storage, web services, e-mail, etc.) • Center Web Services • Public Web Portal • Data dictionary (XML and other) and directory services focused on facilitating web access to information • Integrated development Environments • Requirements Development and Management • Software Configuration Management • Software / System Test Modeling

Service Line	Definition	Example
Office Automation	Desktop computing services to users to include all general purpose, desktop computing hardware and software (OS, applications and utilities) components and services (including design, build, operations, support , and maintenance services). Includes peripherals/printers and multipurpose help desks. Does not include email, calendaring client and servers, and desktops whose primary use is mission specific.	• Desktop computers • Laptop computers • Suites software • Graphics software • IT asset management • Network peripheral devices • Admin – Policy/Procedures • Software licensing • Help Desk • Operating systems • Software (e.g., word processing, spreadsheet, presentation, project management, browser, etc.)
Telephony Services	All elements that provide voice services to users including hardware, software, services and communications.	• Telephones local and long distance services • 2-way radio • Cell Phones Services • Facsimile Services • FTS services • International services • Voice Teleconferencing • Calling cards • 800 # service • Voice over IP • PBXs • Voice mail • Public Address (PA) • Emergency Warning System • Satellite Phones • Unified messaging • Wireless support

Service Line	Definition	Example
Enterprise Collaboration Services	All investments required to support video and video distribution and video conferencing services used by the Agency or Bureau to include hardware, software and support services - not including LAN or WAN. IT investments to provide email, instant messaging, and collaborative tools.	• Video Services • Administrator Video • VITS • Digital video production equipment/facilities • Conference Room A/V support • Video distribution systems, Digital TV (DTV) Project and HDTV • All Email, Calendaring • Wireless PDA/Handheld (i.e.: Blackberry) • Pagers • Advanced Engineering Environment (AEE) • Electronic Work Environment Initiative • Video over IP • ISOWAN • Center E-mail • WebEx • E-Room • Secure video • Audio conferencing
Cyber Security	All IT investments to provide shared security services.	• Certificates / Digital Signatures • Digital Certificate Authentication • SSL • Platform/Desktop Firewalls services • Platform/Desktop Antivirus Services • Scanning/Penetration Tests • Desktop Personal Firewall • Supporting Security Services • Firewalls specify policies about what traffic may or may not enter a particular computer network. • An IDS (Intrusion Detection System) monitors patterns of traffic and signals an alert once it deems that an attack has taken place. An IDS can be network-based or host-based, passive or reactive, and can rely on either misuse detection or anomaly detection.

Appendix G: Office of IT REFORM FEDERAL Points of Contact FOR PROGRAM OFFICES

IM Federal Staff	Program Offices
George Dudley 202-586-6730	National Nuclear Security Administration (NNSA) Counterintelligence (CN) Management, Budget and Evaluation (ME) Chief Information Office (IM) Science (SC)
Ron Marchitelli 301-903-4634	Environmental Management (EM) Nuclear Energy, Science & Technology (NE) Civilian Radioactive Waste Management (RW) Fossil Energy (FE) Security and Safety Performance Assurance (SP) Western Area Power Administration (WAPA)
Theanne Gordon (202) 586-9958	Energy Information Administration (EIA) Electricity and Energy Assurance (EA) Energy Efficiency & Renewable Energy (EE) Environment, Safety, and Health (EH) Congressional & Intergovernmental Affairs (CI) Inspector General (IG) General Counsel (GC) Secretary of Energy Advisory Board (SEAB) Departmental Representative to DNFSB (DNFSB) Legacy Management (LM) Economic Impact & Diversity (ED) Hearings & Appeals (HG) Policy & International Affairs (PI) Southwestern Power Administration (SWPA) Southeastern Power Administration (SEPA) Bonneville Power Administration (BPA)

Rod Witschey
Office of IT Reform
Planning Division Director
202-586-2360

Appendix H: References

Documents

OMB Circular A-11, Section 53—Information Technology and E-Government, found at
http://www.whitehouse.gov/omb/circulars/a11/

OMB Circular A-11, Section 300—Planning, Budgeting, Acquisition, and Management of
Capital Assets, found at
http://www.whitehouse.gov/omb/circulars/a11/

The Clinger Cohen Act on Federal IT Management, found at
http://irm.cit.nih.gov/policy/itmra.html

Department of Energy eCPIC User Guide for OMB Exhibit 53 and Exhibit 300 Reporting, found
in the eCPIC Global Resource Library

FEA A-11 Guidance, found at http://www.whitehouse.gov/omb/egov/a-1-fea.html

Helpful Web Sites

Federal Chief Information Officers Council at http://www.cio.gov/
White House Website – www.whitehouse.gov